

26

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Michael Tari et al  
 Serial No. : 10/014,864  
 Filed : December 11, 2001  
 Title : Method and System for Requesting Prices for Electronic Trading of Financial Instruments  
 Group : 2164  
 Examiner : Not Yet Assigned



## CERTIFICATE OF MAILING

I hereby certify that this paper and all enclosures referred to therein are being deposited with the United States Postal Service as First Class Mail, with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on March 18, 2002.

Name of Person Mailing: Josephine Hardy

Signature of Person Mailing

RECEIVED

MAR 27 2002

Technology Center 2100

Assistant Commissioner for Patents  
 Washington, DC 20231

Sir:

In accordance with the duty of disclosure provisions of 37 C.F.R. § 1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor is this Information Disclosure Statement a representation that a search has been made (other than a search report of a foreign counterpart application or PCT International Search Report if submitted herewith).

1.  Enclosures accompanying this Information Disclosure Statement are:
  - (1) Form PTO-1449;
  - (2) Copies of publications.
2.  This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(b) before the latter of three months after the U.S. patent application filing date or the first Office Action on the merits. Accordingly, no fee or certification is required.
3.  This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(c) after the first Office Action on the merits, but before a Final Office Action or a Notice of Allowance.  
*(Check either 3a or 3b.)*
  - 3a.  The Certification Statement in Item 5 below is applicable. Accordingly, no fee is required.
  - 3b.  The \$180 fee set forth in 37 C.F.R. § 1.17(p) in accordance with 37 C.F.R. § 1.97(c) is to be charged to Skadden, Arps, Slate, Meagher & Flom LLP Deposit Account No. 19-2385.

4.  This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(d) after Final Office Action or Notice of Allowance, but before payment of Issue Fee. A Petition to the Commissioner is hereby made under 37 C.F.R. § 1.97(d) to request consideration of this Information Disclosure Statement. Please charge the \$180 fee set forth in 37 C.F.R. § 1.17 (p) to Skadden, Arps, Slate, Meagher & Flom LLP Deposit Account No. 19-2385.

The Certification Statement in Item 5 below is applicable.

5.  Certification Statement. (*Applicable if Item 3a or Item 4 is checked*)

5a.  In accordance with 37 C.F.R. § 1.97(e)(1), it is certified that each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

5b.  In accordance with 37 C.F.R. § 1.97(e)(2), it is certified that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

6.  The Commissioner is authorized to charge any additional fee required or credit any overpayment for the Information Disclosure Statement to Skadden, Arps, Slate, Meagher & Flom LLP Deposit Account No. 19-2385.

Respectfully submitted,

Date: March 18, 2002

By:   
Andrew F. Strobert

Reg. No. 35,375

Skadden, Arps, Slate, Meagher & Flom LLP  
Four Times Square  
New York, NY 10036  
(212) 735-3000

*Enclosures (1449 Form and Reference(s))*

## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)



ATTY. DOG.	APPLICATION NO.
ICOR-004	10/014,864
APPLICANT	
TARI et al.	
FILING DATE	GROUP
December 11, 2000	2164

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1	6,317,727	11/13/2001	May	G06F	17/60	
	A2	2002/0002530 A1	1/3/2002	May	G06F	17/60	
	A3						
	A4						
	A5						
	A6						
	A7						
	A8						
	A9						
	A10						
	A11						
	A12						

RECEIVED

MAR 27 2002

Technology Center 2100

FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES
	B1						
	B2						
	B3						
	B4						
	B5						

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	C1	
	C2	
	C3	

EXAMINER	DATE CONSIDERED
----------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.